

# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. CHM-013M2	
First Inventor Kenneth D. R. Setchell et al.	
Title	Compositions and Products Containing R-Equol, and Methods for Their Making
Express Mail Label No.	EV 243854143 US

<b>APPLICATION ELEMENTS</b> See MPEP chapter 600 concerning utility patent application contents	<b>ADDRESS TO:</b> Mail Stop Patent Application Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450
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1. ☒ Fee Transmittal Form (e.g. PTO/SB/17)  
 (Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status — See 37 CFR 1.27
3. ☒ Specification [Total Pages **45**]  
 (preferred arrangement set forth below)
  - Descriptive Title of the Invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R&D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claims
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets **6**]
5. ☒ Oath or Declaration [Total Pages **4**]
  - a. ☒ Newly executed (original copy)
  - b. ☐ Copy from a prior application (37 CFR 1.63 (d))  
 (for continuation/divisional with Box 18 Completed)
  - i. ☐ **DELETION OF INVENTOR(S)** Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet (see 37 CFR 1.76)

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - a. ☐ Computer Readable Form (CRF)
  - b. ☐ Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☐ Paper
  - c. ☐ Statements verifying identity of above copies

17858 U.S. PTO  
 10/625989  
 07/24/03

## ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement (when there is an assignee)  
☐ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS/PTO-SB08 or SB-1449)  
☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
 (Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)  
 (if foreign priority is claimed)
16. ☐ Nonpublication Request under 35 U.S.C. 122(b)(2)(B)(i).  
 Applicant must attach form PTO/SB/35 or its equivalent.
17. ☐ Other:

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation    ☐ Divisional    ☐ Continuation-in-part (CIP)    of prior application no. \_\_\_\_\_  
 Prior Application information:    Examiner:    Group Art Unit:

**For CONTINUATION OR DIVISIONAL APPS only:** The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label

26868

(insert Customer Number or attach bar code label here)

Name (print/type)	Daniel E. Nesbitt	Registration No. (Attorney/Agent)	33,746
Signature		Date	July 24, 2003

07/24/03

14230 U.S. PTO

**FEE TRANSMITTAL**

(Patent Fees are subject to annual revision)

☐ Applicant claims small entity status. (See 37 CFR 1.27)

TOTAL AMOUNT OF PAYMENT

\$978.00

**Complete if Known**

Application Number

Filing Date

July 24, 2003

First Named Inventor

Kenneth D. R. Setchell et al.

Examiner Name

Art Unit

Attorney Docket No.

CHM-013M2

**METHOD OF PAYMENT (check all that apply)**☐ Check ☒ Credit Card ☐ Money Order ☐ Other ☐ None☐ Deposit Account:

Deposit Account Number

Deposit Account Name

The Commissioner is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments☐ Charge any additional fee(s) during the pendency of this application☐ Charge fee(s) indicated below, except for the filing fee to the above identified deposit account**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity	Small Entity	Fee Code	Fee Description	Fee Paid
1001	2001		Utility filing fee	750.00
1002	2002		Design filing fee	.00
1003	2003		Plant filing fee	.00
1004	2004		Reissue filing fee	.00
1005	2005		Provisional filing fee	.00

**Subtotal (1) (\$ 750.00)****2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE**

	Extra Claims	Fee from Below	Fee Paid
Total Claims	28 - 20** = 8	X 18	= 144.00
Independent Claims	4 - 3** = 1	X 84	= 84.00
Multiple Claims			= .00

Large Entity	Small Entity	Fee Code	Fee Description
1202	2202		Claims in excess of 20
1201	2201		Independent claims in excess of 3
1203	2203		Multiple dependent claim, if not paid
1204	2204		**Reissue independent claims over original patent
1205	2205		**Reissue claims in excess of 20 and over original patent

**Subtotal (2) (\$228.00)**

\*\* or number previously paid, if greater; For Reissues, see above


**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

Large Entity	Small Entity	Fee Codes	Fee Description	Paid
1051	2051		Surcharge - late filing fee or oath	<input type="checkbox"/>
1052	2052		Surcharge - late provisional filing fee or cover sheet	<input type="checkbox"/>
1053	1053		Non-English specification	<input type="checkbox"/>
1812	1812		Filing a request for ex parte reexamination	<input type="checkbox"/>
1804	1804		* Requesting publication of SIR prior to Examiner action	<input type="checkbox"/>
1805	1805		Requesting publication of SIR after Examiner action	<input type="checkbox"/>
1251	2251		Extension for reply within first month	<input type="checkbox"/>
1252	2252		Extension for reply within second month	<input type="checkbox"/>
1253	2253		Extension for reply within third month	<input type="checkbox"/>
1254	2254		Extension for reply within fourth month	<input type="checkbox"/>
1255	2255		Extension for reply within fifth month	<input type="checkbox"/>
1401	2401		Notice of Appeal	<input type="checkbox"/>
1402	2402		Filing a brief in support of an appeal	<input type="checkbox"/>
1403	2403		Request for oral hearing	<input type="checkbox"/>
1451	1451		Petition to institute a public use proceeding	<input type="checkbox"/>
1452	2452		Petition to revive - unavoidable	<input type="checkbox"/>
1453	2453		Petition to revive - unintentional	<input type="checkbox"/>
1501	2501		Utility issue fee (or reissue)	<input type="checkbox"/>
1502	2502		Design issue fee	<input type="checkbox"/>
1503	2503		Plant issue fee	<input type="checkbox"/>
1460	1460		Petitions to the Commissioner	<input type="checkbox"/>
1807	1807		Processing fee under 37 CFR 1.17(q)	<input type="checkbox"/>
1806	1806		Submission of Inform. Discl. Statement	<input type="checkbox"/>
8021	8021		Recording each patent assignment	<input type="checkbox"/>
1809	2809		Filing a submission after final rejection (37 CFR 1.29(a))	<input type="checkbox"/>
1810	2810		For each additional invention to be examined (37 CFR 1.129(b))	<input type="checkbox"/>
1801	2801		Request for Continued Examination (RCE)	<input type="checkbox"/>
1802	1802		Request for expedited examination of a design application	<input type="checkbox"/>

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

**Subtotal (3) (\$ 0.00)****SUBMITTED BY****Complete (if applicable)**

Name (print/type)	Daniel F. Nesbitt	Registration No.	33,746	Telephone	513-229-0383
Signature		Date	July 24, 2003		